

**STATE OF NEW JERSEY
DEPARTMENT OF THE TREASURY**



**DIVISION OF PROPERTY MANAGEMENT
AND CONSTRUCTION**

**PROFESSIONAL SERVICES
PREQUALIFICATION APPLICATION
INSTRUCTIONS FOR FORM 48A**

Revised January 2009

INTRODUCTION:

N.J.A.C. 17:19-5.4 requires that firms wanting to be considered for professional consultant work with the Division of Property Management and Construction (DPMC) be "prequalified" by the Division. Form 48A is the application by which interested firms submit appropriate information on experience, capabilities and staffing in order to become "prequalified." Prequalification is also required by the NJ Schools Development Authority and may be required by various counties, municipalities, Boards of Education and other state committees, authorities and organizations in order to be considered for professional consultant services.

The preparer of this application must be a Principal of the firm.

The application will be thoroughly evaluated by DPMC's Prequalification Unit taking into consideration the following factors:

1. Company profile
2. Financial stability and viability as a going concern
3. Integrity
4. Experience and capabilities

A firm's prequalification rating may vary by discipline. Prequalification ratings range from \$50,000 to \$25,000,000 and include an UNLIMITED rating and an NA rating, which for the purposes of prequalification means No Fixed Amount.

The firm will be entitled to apply for professional consultant services contracts or serve as a sub-consultant on such contracts within its approved discipline with a construction cost estimate equal to or below the firm's prequalification rating.

A firm's prequalification rating will be valid for a period of **two years**. The expiration date will be noted on the "NOTICE OF CONSULTANT PREQUALIFICATION," Form 48AN.

ONLY ORIGINAL SIGNATURES WILL BE ACCEPTED FOR SECTIONS 13, 15, 22, AND 23. DO NOT SEND COPIES.

DEFINITIONS:

“Professional Consultant Services” are those professional services associated with research, development, design and construction administration, construction management, alteration, or renovation of real property, as well as incidental services that members of these professions and those in their employ may logically or justifiably perform. These services may include studies, investigations, surveys, evaluations, consultations, planning, programming, conceptual designs, plans and specifications, cost estimates, inspections, construction management, shop drawing reviews, preparation of operating and maintenance manuals, and other related services.

“Parent Firm” is that firm, company, corporation, association, or conglomerate which is the major stockholder or highest tier owner of the firm completing this application.

“Preparer” means a principal of the firm who prepares and signs the application.

“Principals” are those individuals in a firm who are full-time and possess responsibility for its business enterprise and profitability.

“Shareholders” are owners of stock or other securities that can be converted to stock that, if exercised, would constitute **5%** of the firm’s issued stock. Other securities include stock options, secured or unsecured bonds, warrants and rights.

Note: Applicant firms that are publicly held corporations should list the president, treasurer, shareholders of 5% or

more of the firm’s issued stock, and only those officers and officials who meet the definition of “Principals.”

Firms applying for architecture, landscape architecture, engineering, surveying and/or planning disciplines must have at least one “Principal” in the office to be prequalified who is registered and/or licensed in New Jersey.

“Specialty” or “Discipline” refers to the primary technical capability of individuals in the responding firm. Possession of an academic degree, professional registration, or certification in a given field of practice usually reflects an individual’s primary technical specialty.

“Key Personnel” are full time management and technical staff who have a significant role in a firm. They may be associates, studio directors, project managers, section chiefs, crew chiefs, laboratory heads, department heads, job captains or related personnel.

“Prequalification Rating” is the maximum dollar value of any project for which a firm may be considered within a given discipline/specialty for a professional consultant services contract or to serve as a sub-consultant on such contracts. Firms will be assigned individual prequalification ratings for each discipline/specialty in which a firm is pre-qualified based upon previous project experience and the firm’s professional/technical staffing. The number of New Jersey licensed professionals in a discipline/specialty, together with prior work experience, is a factor in determining the firm’s prequalification rating.

“Small Business Enterprise (SBE)” is a firm that is independently owned and operated with 100 or fewer employees having its principal place of business located in New Jersey. To be certified by DPMC as an SBE, the firm must be certified by the Division of Minority & Women Business Development. (866-534-7789)

“Minority Business Enterprise (MBE)” is a firm in which at least 51 percent of the beneficial ownership is held by minorities, is certified by the NJ Commerce & Economic Development Commission and whose management and daily business operations are controlled by one or more such minority individuals. To be certified by DPMC as an MBE, the firm must be certified by the Division of Minority & Women Business Development. (866-534-7789)

“Women Business Enterprise (WBE)” is a firm in which at least 51 percent of the beneficial ownership is held by a woman, is certified by the NJ Commerce & Economic Development Commission and whose management and daily business operations are controlled by a woman or women. To be certified by DPMC as a WBE, the firm must be certified by the Division of Minority & Women Business Development. (866-534-7789)

INSTRUCTIONS FOR FILING:

All items must be completed. If a particular question does not apply, the response must state "not applicable" or "N/A." If incomplete, the firm will be contacted for additional

information prior to a detailed review, which may delay the prequalification process.

Any firm seeking prequalification must have at least one principal on its staff, who has been engaged in active private practice for at least two years or who has been a principal for a period of at least two years in another firm immediately preceding its request for prequalification.

Box 1. General information. Staff size includes all staff located at this business address, including principals, technical staff and field staff. **Clerical support staff is not to be included.** The designated Contact Person will receive all DPMC mailings and be listed on our website.

Box 2. A federal tax ID number may be obtained from the Internal Revenue Service. Individuals or small firms may use their Social Security Number.

Box 3. Date application prepared.

Box 4. The following types of ownership require submission of the noted certificates:

- (a) **Architectural or Engineering Firms**, which are **General/Limited Liability Corporations or Limited Liability Companies** must submit a “Certificate of Authorization” issued by the appropriate New Jersey State Board.

- (b) **All Firms** which are **Professional Corporations (Subchapter S)** must submit the firm's "Certificate of Incorporation-Professional Services" issued by the NJ Department of the Treasury, Division of Revenue, Commercial Recording. Contact NJ Business Services, 609-292-9292.
- (c) Any other type of consulting firm (Construction Management, Environmental Consultant, etc.) that is a **General Corporation** must submit a copy of the firm's "Certificate of Authority" (see information below) or a copy of the firm's incorporation papers stamped "filed" by the NJ Department of the Treasury, Division of Revenue, Commercial Recording.
- (d) The NJ Board of Architects requires all partners in an architectural partnership to be New Jersey licensed.

In addition to the certificates noted above, out-of-state entities **must** submit a Certificate of Authority. Contact the Division of Business Revenue Services, 609-292-9292. The Public Records Filing for New Business Entities can be used for this purpose. The form and instructions can be found at www.state.nj.us/treasury/revenue/revprnt.htm.

Box 5a. If an MBE, SBE or WBE box is checked, proof of certification by the Division of Minority & Women Business Development. (866-534-7789). must be included in the application package.

Box 5b. State law requires all consultants, contractors, and subcontractors to provide proof of their registration with the

State of New Jersey, Department of the Treasury, Division of Revenue. Contact the Division of Revenue, Client Services, at 609-292-1730 or through the Division's website, www.state.nj.us/njbgs/services.html. Enclose a copy of the firm's "Business Registration Certificate" with the application.

Box 5c. All firms are required to remit a non-refundable fee of \$100. The company check should be made payable to "Treasurer – State of New Jersey."

Box 6a. Complete this box to indicate whether the firm has CAAD capability.

Box 6b. Checking "yes" will include the firm on a list of firms willing to perform consulting work for the federal government upon short notice during a national emergency.

Box 7. See definition of "Parent Firm."

Box 8. Provide any former firm names used in the last 10 years.

Box 9. The qualifications and staff size of a **single** satellite office will be taken into consideration during the prequalification process and may increase a firm's prequalification rating. List one satellite office to be considered. Provide a list of all other satellite offices on a separate sheet. Only the full time staff in the designated satellite office should be included in Sections 13 and 17.

Box 10. Include the contact information for any other public agencies, departments or authorities with which the firm holds a current prequalification.

Box 11. Include a copy of the firm's current Certificate of Employee Information Report. The certificate is issued by the State Treasurer. The application is available online at www.state.nj.us/treasury/contact_compliance/.

Box 12. Submit a box diagram of the firm's organization including titles, names and reporting relationships of principals and key personnel. Include charts for the parent firm and satellite office if applicable. The charts should be detailed enough to fully explain the firm's organization. Use additional sheets if necessary.

Box 13. List only those staff who are registered, licensed or certified by the State of New Jersey and that work in the office to be prequalified and the designated satellite office. The original signature of each person listed must be included.

Box 14. See the definition section for "Principals" and "Key Personnel." Use only the space provided in Box D for each person. Use as many resume sheets, as necessary. Do not attach resumes.

Box 15. Answer all of the questions. If any require an explanation, do so as an attachment marking each page with the firm's name and federal tax ID number. Round out the fees to the nearest \$100.

Box 16. Provide financial statements for the last two fiscal years. **THE FINANCIAL STATEMENT IS MANDATORY. REQUESTS FOR QUALIFICATION WILL NOT BE PROCESSED WITHOUT THE ACCOMPANYING VALID FINANCIAL STATEMENT.**

The financial statements must be:

- Completed by an accountant or certified public accountant, not by a tax professional;
- Submitted with a copy of the accountant's signed cover letter. Such statements shall be completed by a certified public accountant or public accountant who is independent and not an employee of the firm for whom the financial statements are being provided;
- Cannot be consolidated statements.

Note: Tax returns will not be accepted unless the firm is a sole proprietorship.

Box 17. Place an "X" in column "A" adjacent to those disciplines or specialties in which the firm wishes to be rated. Review column "D" to see the professional/technical staff for each discipline. Should the firm have in-house capability to perform services in a listed discipline/specialty but prefers not to seek an independent contract in those areas, complete the staffing columns for that discipline/specialty; however, do not place an "X" in column "A" adjacent to that particular discipline/ specialty.

Should a staff member be qualified in more than one discipline or specialty area, that member can be included in as many specialty/discipline areas as apply.

List only full-time technical staff in the technical staff column. For a firm to receive a prequalification rating in a licensed discipline, at least one "Principal" must hold a New Jersey registration and/or New Jersey professional license in that discipline and be assigned to the office seeking prequalification. Having licensed staff in a satellite office, but none in the prequalified office will not meet the prequalification requirements. (Refer to definition of "Principal").

Box 18. In order to achieve a prequalification rating in a specific specialty/discipline, a minimum of three (3) projects must be listed, two (2) of which have been completed and occupied. It is advisable to list large projects to justify a higher rating. It is wise to limit the number of projects to target those that emphasize the firm's expertise and which support the dollar rating the firm is seeking. In the case of studies or master plans, list a minimum of three (3) projects with the estimated construction cost of the project or the fee the firm received for its work. In the left-hand column titled "specialty type," include as many codes as apply to the type of work that the firm performed on that project. Be sure to provide all the information requested in each column.

Regarding prequalification for construction management, discipline 29, credit is given only when a firm has performed as the owner's representative on-site to oversee the work of designers, contractors and sub-contractors.

If prequalification is requested for discipline 34, historical preservation/ restoration, attach supporting documentation such as certificates, awards, newspaper/magazine articles, memberships in historical societies, and photographs.

All projects must have been completed within the past ten (10) years. Use additional sheets if necessary. Credit is not given for term contracts.

Box 19. Complete as directed at the beginning of this section.

Box 20. Include information on awards or achievements.

Box 21. Complete all items on this form.

Box 22. Each Principal listed in section 14 must complete and sign a separate certification. Please note that each certification must be notarized.

Box 23. Certification by Preparer. All of the items on the Form 48A must be complete. The completed form must be signed by a Principal of the firm, preferably the Chief Executive Officer, and notarized. If the firm is a corporation, the corporate seal must be affixed.

If you have questions about the information required on this application, call (609) 984-6979.

DO NOT bind or staple the application package. Clipping the form together with the required certificates is sufficient.

Send the original application only. It is not necessary to send copies.

Mail the completed original application and the check for prequalification fee. If the package is sent for overnight delivery, please use this address:

Consultant Prequalification
Division of Property Management & Construction
State of New Jersey - Department of the Treasury
33 West State Street, 9th Floor
Trenton NJ 08625

When using the US Postal Service the address is:

Consultant Prequalification
Division of Property Management & Construction
State of New Jersey - Department of the Treasury
PO Box 034
Trenton NJ 08625-0034

PROCESSING

The Consultant Prequalification Unit has 30 days from receipt of a COMPLETE APPLICATION to review and process it. In the event that additional information or clarification is required, the requested information must be received before the application will be deemed complete and the 30 calendar day processing time begins.

Upon the completion of the review of the firm's application, a "Notice of Prequalification" will be issued.

APPEALS

If a firm does not agree with its prequalification rating, or the denial of a prequalification rating, it may appeal in writing to the Prequalification Unit for reconsideration. The reasons for the appeal must be detailed and specific points to be reconsidered must be included in the appeal. Results of this re-evaluation will be made known to the firm in writing. If the firm still does not agree with its prequalification rating, it may appeal in writing to the Director of the Division of Property Management and Construction whose decision shall be final.

UPDATING FORM 48A

In the event of changes in ownership, address, circumstances, conditions or status of the firm that would require amending the answers to this application, or would change the prequalification rating or specialty/discipline, the applicant **MUST** notify the Prequalification Unit in writing of such changes within 60 calendar days after the change has occurred. Failure to do so may result in the temporary suspension of the firm's prequalification to submit proposals on professional consulting services contracts or to serve as sub-consultants on such contracts until the application is amended to reflect the current status and reviewed by the Prequalification Unit.

The Department of the Treasury reserves the right to review the application at any time to verify the information provided. In order to keep the file as current as possible, please provide the unit with copies of renewed licenses and certificates, including MBE, SBE and WBE certificates.

The firm may amend its Form 48A anytime if changes in the conditions or status of the firm may result in changes to the firm's rating. A letter of explanation, appropriately revised Sections of the form along with the appropriate back up data will be required in order to properly evaluate the request.